

# 自我证明表格 (控权人)

## Self-Certification Form (Controlling Person)

**客户须知：填写此表格前，请先阅读本节。**  
**Important Notice to Customer(s): Please read this section before completing this form.**

**作为财务机构，我们是不允许给予客户税务咨询。**

如果您对此表格或您的税务居民身份定义有任何疑问，请联系您的税务顾问或相关税务机关。您可以在OECD自动讯息交换网站(<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>)获取更多信息。

**As a financial institution, we are not allowed to give tax advice**

If you have any questions regarding this form or defining your tax residency status, please speak to your tax advisor or relevant tax authority. You can also find out more on the OECD automatic exchange of information portal (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>).

您可能会被要求提供更多证明文件，以核实此表格上之内容。

You may be asked to provide additional documents to verify the certification made on this form.

这是由控权人向申报财务机构提供的自我证明表格，以作自动交换财务帐户资料用途。申报财务机构可把收集所得的资料交给税务局，税务局会将资料转交到另一税务管辖区的税务当局。

This is a self-certification form provided by a controlling person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.

除不适用或特别注明外，必须填写这份表格所有部分。如这份表格上的空位不够应用，可另纸填写。在栏/部份标有星号(\*)的项目为申报财务机构须向税务局申报的资料。

All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/sections marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

### 第1部份：控权人身份 Section 1: Controlling Person Identification

#### 个人资料 Personal Information:

控权人姓名 (姓氏\*, 名字\*) Name of Controlling Person (First or Given name\*, Last name or Surname\*)

出生日期\* (日/月/年) Date of Birth\* (dd/mm/yyyy) 出生地点 (城市, 国家) Place of Birth (City, Country) (可不填写 Not compulsory)

香港身份证或护照号码\* Hong Kong Identity Card or Passport Number\*

签发地点 Issuing Jurisdiction

#### 居住地址 Residence Address:

室/层/座 Room/ Flat, Floor, Block

楼宇/屋苑名称, 街道号数/名称 Name of Building/ Estate, No. & Name of Street/ Road

地区/城市\*/城镇 District/ City\*/ Town

邮政编码 Post Code

国家\* Country\*

#### 通讯地址 (如与上述居住地址不同) Correspondence Address (if different from the residence address stated above):

室/层/座 Room/ Flat, Floor, Block

楼宇/屋苑名称, 街道号数/名称 Name of Building/ Estate, No. & Name of Street/ Road

地区/城市/城镇 District/ City/ Town

邮政编码 Post Code

国家 Country

## 第2部份：您作为控股人的实体帐户持有人 Section 2: The Entity Account Holder(s) of which you are a controlling person

请填写您作为控股人的实体帐户持有人的名称。

Please enter the name of the entity account holder of which you are a controlling person.

实体帐户持有人的名称 Name of entity account holder	
实体 1 Entity 1	
实体 2 Entity 2	
实体 3 Entity 3	
实体 4 Entity 4	

## 第3部份：税务居民身份声明 Section 3: Declaration of Residence for tax purposes

提供以下资料，列明（a）控股人的居留司法管辖区，亦即控股人的税务管辖区（香港包括在内）及（b）该居留司法管辖区发给控股人的税务编号。列出**所有**（不限于 4 个）居留司法管辖区。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a resident for tax purposes and (b) the controlling person's Tax Identification Number ("TIN") for each jurisdiction indicated. Indicate **all** (not restricted to 4) jurisdictions of residence.

如控股人是香港税务居民，税务编号是其香港身份证号码。

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如没有提供税务编号，必须填写理由 A, B 或 C:

If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A - 控股人的居留司法税务管辖区并没有向其居民发出税务编号。

Reason A - The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents

理由 B - 控股人不能取得税务编号。如选取这一理由，解释控股人不能取得税务编号的原因。

Reason B - The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason

理由 C - 控股人毋须提供税务编号。这理由只适用于居留司法管辖区的主管机关不需要控股人披露税务编号。

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed

居留司法管辖区* Jurisdiction of Residence*	税务编号* TIN*	如没有提供税务编号，请填写理由 A, B 或 C Enter Reason A, B or C if no TIN is available	如选择理由 B， 解释控股人不能取得税务编号的原因 Explain why the controlling person is unable to obtain a TIN if you have selected Reason B

#### 第4部份：控权人类别 Section 4: Type of Controlling Person

在适当方格内加上✓号，指出控权人就第2部份所载的每个实体所属的控权人类别。  
Please tick the appropriate box to indicate the type of controlling person for each entity stated in Section 2.

实体类别 Type of Entity	控权人类别 Type of controlling person	实体 1 Entity 1	实体 2 Entity 2	实体 3 Entity 3	实体 4 Entity 4
法人 Legal Person	拥有控制股权的个人（即拥有不少于百分之二十五的已发行股本） Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	以其他途径行使控制权或有权行使控制权的个人（即拥有不少于百分之二十五的表决权） Individual who exercises control/ is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	担任该实体的高级管理人员/对该实体的管理行使最终控制权的个人 Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
信托 Trust	财产授予人 Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受托人 Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	保护人 Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受益人或某类别受益人的成员 Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	其他（例如：如财产授予人/受托人/保护人/受益人为另一实体，对该实体行使控制权的个人） Other (e.g. individual who exercises control over another entity being the settlor/ trustee/ protector/ beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
除信托以外的 法律安排 Legal Arrangement other than Trust	处于相等/相类于财产授予人位置的个人 Individual in a position equivalent/ similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	处于相等/相类于受托人位置的个人 Individual in a position equivalent/ similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	处于相等/相类于保护人位置的个人 Individual in a position equivalent/ similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	处于相等/相类于受益人或某类别受益人的成员位置的个人 Individual in a position equivalent/ similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	其他（例如：如处于相等/相类于财产授予人/受托人/保护人/受益人位置的人为另一实体，对该实体行使控制权的个人） Other (e.g. individual who exercises control over another entity being equivalent/ similar to settlor/ trustee/ protector/ beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## 第5部份：声明及签署 Section 5: Declarations and Signature

**本人声明就本人所知所信，本表格内所填报的所有资料和声明均属真实、正确和完备。**

**I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.**

本人知悉及同意，财务机构可根据《税务条例》（第112章）有关交换财务帐户资料的法律条文，（a）收集本表格所载资料并可备存作自动交换财务帐户资料用途及（b）把该等资料和关于控权人及任何须申报帐户的资料向香港特别行政区政府税务局申报，从而把资料转交到控权人的居留司法管辖区的税务当局。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the controlling person and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with tax authorities of another jurisdiction or jurisdictions in which the controlling person may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人承诺，如情况有所改变，以致影响本表格第1部份所述的控权人的税务居民身份，或引致本表格所载的资料不正确，本人会通知招商证券集团的相关机构，并会在情况发生改变后的30日内，向所述的相关机构提交一份已适当更新的自我证明表格。

I undertake to advise the relevant entity of the China Merchants Securities Group of any change in circumstances which affects the tax residency status of the individual identified in Section 1 of this form or causes the information contained herein to become incorrect, and to provide the said relevant entity with a suitably updated self-certification form within 30 days of such change in circumstances.

本人证明，就与本表格所有相关的实体帐户持有人所持有的帐户，本人是控权人/ 本人获控权人授权签署本表格<sup>^</sup>。

I certify that I am the controlling person/ I am authorized to sign for the controlling person<sup>^</sup> of all the account(s) held by the entity account holders to which this form relates.

控权人签署/ 授权人签署<sup>^</sup>  
Signature of Controlling Person/ Authorized Signatory<sup>^</sup>

正楷姓名  
Print Name

日期(日/月/年)  
Date (dd/mm/yyyy)

签署人身份(如您不是控权人，请注明身份。  
如果您是以授权人身份签署这份表格，须夹附该授权书的核证副本。)  
Signer Capacity (Indicate the capacity if you are not the controlling person.  
If signing under a power of attorney, attach a certified copy of the power of attorney.)

警告：根据《税务条例》第80(2E)条，如任何人在作出自我证明时，在明知一项陈述在要项上属具误导性、虚假或不正确，或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下，作出该项陈述，即属犯罪。一经定罪，可处第3级（即港币\$10,000）罚款。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. HK\$10,000).

如此自我证明表格的中、英文两个版本有任何不相符之处，均以英文版本为准，所有您在此表格提供的资料会被视为回应英文版本原文。

In the event of any inconsistency between the English and Chinese language text on this self-certification form, the English version shall prevail and all information provided by you on this form shall be treated as addressing the English text.

<sup>^</sup> 删去不适用者 Delete as appropriate